

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Raimo Bakis, Ellen M. Eide

Serial No.: Unassigned

Filed: Concurrently herewith

For: SYSTEM AND METHOD FOR RESCORING N-BEST HYPOTHESES  
OF AN AUTOMATIC SPEECH RECOGNITION SYSTEM

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

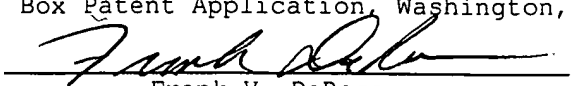
Pursuant to Applicant(s) duty of disclosure, the information listed in the attached form PTO-1449 is brought to the attention of the Examiner. Copies of the listed items are enclosed.

The citation of the listed items is not a representation that they constitute a complete or exhaustive listing of the relevant art or that the references are prior art. The items listed are submitted in good faith, but are not intended to substitute for the Examiner's search. It is hoped,

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**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.10**

I hereby certify that this Application transmittal and the documents referred to as enclosed are being deposited with the United States Postal Service on this date April 2, 1999 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL192803193US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

  
Frank V. DeRosa

however, that in addition to apprising the Examiner of these particular items, they will assist in identifying fields of search and in making as full and complete a search as possible.

The filing of this information disclosure statement is not an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

- ☒ [X] This information disclosure statement is being filed within three (3) months of the filing date of this application.
- ☐ [ ] This information disclosure statement is being filed within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application.
- ☐ [ ] To the best of Applicant(s) knowledge, this information disclosure statement is being filed before the date of mailing of a first Office Action on the merits in connection with this case.

) )  
[ ] Enclosed herewith is a certificate under 37 C.F.R.  
§ 1.97(e).

[ ] Enclosed herewith is a petition under 37 C.F.R. §  
1.97(d)(ii).

[ ] Enclosed by check is the petition fee of  
\$130.00. (37 C.F.R. § 1.17(i)(1))

[ ] Please charge the \$130.00 petition fee to  
Deposit Account No. 50-0510/IBM (Yorktown  
Heights).

[ ] Enclosed by check is the \$240.00 fee required by  
37 C.F.R. § 1.17(p).

[ ] Please charge the \$240.00 fee required by 37  
C.F.R. § 1.17(p) to Deposit Account No. 50-  
0510/IBM.

[X] Please charge any deficiency as well as any other  
fee(s) which may become due under 37 C.F.R. § 1.16  
and/or 1.17 at any time during the pendency of  
this application, or credit any overpayment of  
such fee(s) to Deposit Account 50-0510/IBM. Also,  
in the event any extensions of time for responding

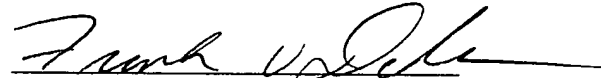
) )

are required for the pending application(s),  
please treat this paper as a petition to extend  
the time as required and charge Deposit Account  
No. 50-0510/IBM therefor. **TWO (2) COPIES OF THIS  
SHEET ARE ENCLOSED.**

The claims of the application as now presented are  
believed to patentably distinguish over the prior art and to be  
in condition for allowance. Early and favorable consideration of  
the case is respectfully requested.

Respectfully submitted,

By:



Frank V. DeRosa

Reg. No. 43,584

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Form PTO-1449 U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

Y0999-046 (8728-252)

SERIAL NO.

Unassigned

APPLICANT: Bakis et al.

FILING DATE: Concurrently herewith

GROUP

Art Unit

## U.S. PATENT DOCUMENT

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

1. Bakis, R., "An Articulatory-Like Speech Production Model with Controlled Use of Prior Knowledge", Frontiers in Speech CD-Rom 1993
2. Schwartz, et al., "The N-Best Algorithm: An Efficient And Exact Procedure For Finding the N Most Likely Sentence Hypotheses", Reprinted from Proceedings of the ICASSP 90 - 1990 International Conference on Acoustics, Speech and Signal Processing, Albuquerque, New Mexico, April 3-6, 1990, pp. 81-84
3. Wegmann, et al., "Speaker Normalization On Conversational Telephone Speech", Vol 1, Proc. ICASSP. 1996, pp. 339-341
4. Eide, et al., "A Parametric Approach to Vocal-Tract-Length Normalization", Proceedings of the Fifteenth Annual Speech Research Symposium. Johns Hopkins University. 1995
5. Donovan, et al., "Improvements in an HMM-Based Speech Synthesizer", Proc. Eurospeech-95, Madrid, pp. 574-576
6. Forney, G. David, Jr., "The Viterbi Algorithm", Proceedings of the IEEE, Vol. 61, No. 3, March 1973, pp. 268-278

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.